Developing policy for OA monographs: A UK perspective

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UK policy landscape for OA monographs

1. Universities UK (UUK) OA Monographs Group (2016 - present)
2. UK Research and Innovation (UKRI) OA review (2019)
3. Research Excellence Framework (REF) OA policy review (2020)

Monographs and book chapters are in scope for the UKRI and the REF OA reviews
UKRI OA review and Plan S

- UKRI is a signatory of Plan S. Plan S principles broadly align with current open access policies.
- Monographs have not been an immediate priority but are something cOAlition S want to progress in due course.

*Important to note...*
- The REF is governed by the four UK HE funding bodies. As far as possible, commonality across the policies will be sought.
UUK OA Monographs Group

- Report 1: Literature review and significant developments in OA monograph (July 2018)
- Report 2: Engagement with academic groups and publishers (March 2019)
- Report 3: Evidence review (October 2019)
  - Supported by fullstopp’s analysis of OA books in the UK (Fund et al., 2019)
Open access monographs in the UK: A data analysis (Fund et. al, 2019)

- 12,701 unique titles returned to Panel C (Social Sciences) and Panel D (Arts and Humanities)

<table>
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<th>Tagged by Neilsen</th>
<th>Number of books</th>
<th>Percentage of books tagged by Neilsen as ‘General’</th>
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<td>347</td>
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Publishers and libraries

Publisher sales
• Seventy percent of publisher sales take place in the first two years after publication, with 80 percent of sales taking place in the first three years.

Library book acquisition budgets
• Fifty percent used to purchase ‘frontlist’ titles (titles published since 2016)
• Around fifteen percent (approx. £8.4m) spent on acquiring deep backlist titles, (titles published more than 10 years ago)

N=13
An international publishing industry

- Fourteen percent of books returned to the REF 2014 were published with a press based in the US.

- Anthropology had the highest percentage of books published with a US press (over a quarter).

- English Literature and Language and History had the highest number of titles published with a US press.

- Modern Languages and Linguistics is the most ‘international’ discipline in terms of location of publisher.

- 174 titles returned to the last REF were co-authored by a scholar affiliated with a US-institution.

(Fund et al, 2019)
Publications linked to a grant from one of the seven subject councils, 2008-2018

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<td>32</td>
<td>1</td>
<td>0</td>
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<tr>
<td>Total</td>
<td>217</td>
<td>4620</td>
<td>833</td>
<td>45</td>
<td>21,570</td>
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Of the long-form publications returned to the REF that were linked to a Research Council grant, just five (two linked to an AHRC grant; three to an ESRC grant) were available open access.

Only 46 books returned to Panels C and D in REF 2014 are open access.
What might a policy for OA monographs look like?

• Simple
• Flexible
• Respects the diversity of book publishing
• Respects bibliodiversity
• Forward looking
• Policy compliance through various routes
Next steps?

- Publication of UUK report early October, with recommendations for stakeholders;
- UKRI OA review consultation launches in October;
- Community-led Open Publication Infrastructures for Monographs (COPIM) project, funded £2.2m from Research England, commences in November 2019;
- REF OA Review next year.
Developing a Policy for Open Access Books in the Context of the National Platform Open Science

Jeroen Sondervan, Utrecht University Library
#COASP11, Copenhagen, September 26nd, 2019

Link to this presentation: https://tinyurl.com/DutchOAbooks

Projects

Open Access Publishing in European Networks

Publishers and open access

OAPEN-NL
A project exploring Open Access monograph publishing in the Netherlands
Final Report

BRILL

AUP
Amsterdam University Press

University of Groningen Press

Leiden University Press

John Benjamins Publishing Company
Open science policy - at different levels

- Full open access to publications
- Research data suitable for reuse
- Recognition and rewards
- Promotion and support
- Citizen Science

- Full open access to publications
- Research data suitable for reuse
- Recognition and rewards
- Plan S signatory

- Open access to publications
- Open and FAIR research data
- Sharing code and software
- Outreach and public engagement
- Rewards and incentives

Universiteit Utrecht
Open science policy - at different levels

Expected implementation guidelines for books: after 2021…
“Open Access to books is not a part of the national negotiations with the big publishers, thereby remaining a rather closed form of research output. In this lab we will conduct experiments with publishing Open Books at Tilburg University.


“Contribute to the development of open access for monographs and edited volumes, supporting promising initiatives and performing research into sustainable open access for books.”

From: Utrecht University Open Science Programme 2019-2021

Source: https://zenodo.org/record/1182436#.XYDb2igza70

Source: https://open-science.sites.uu.nl
Open Access ambition NPOS → 2020

“Scientific publications (articles, (parts of) books, reports) that are funded with public money can be consulted and reused directly from anywhere in the world for everyone to access"
Challenge

Lack of concrete measures and an implementation plan

As a result: risk of stated ambition for book format might be delayed, or worse: not even achieved.
NPOS policy working group OA books

NPOS stakeholders:

- Hans de Jonge - Dutch Research Council (NWO)
- Astrid van Wesenbeeck - National Library of the Netherlands (KB)
- Jeroen Sondervan - Utrecht University Library (VSNU / UKB library consortium)

External advisor:

- Eelco Ferwerda - OAPEN
Starting points

Academic book: “a long academic and peer-reviewed work written on one scientific topic that is usually written by one or a few authors.” (Crossick, 2015)

Methodology

Institutional (registered) data (CRIS)

National institutional data (VSNU)

Publication landscape (publishers, BPCs, policies)

Where do authors publish?

Costs
Total # of academic books

Source: VSNU / KUOZ (key figures university research)
Total # of book chapters

Source: VSNU / KUOZ (key figures university research)
Total # of books per disciplinary category (HOOP)
Where do authors publish?

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<th>PHYS &amp; TECH</th>
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<tr>
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<td>10</td>
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<tr>
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<td>Geological Society of London</td>
<td>4</td>
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<tr>
<td>Bohn Staffeu van Loghum</td>
<td>5</td>
<td>Cambridge University Press</td>
<td>3</td>
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<tr>
<td>Taylor &amp; Francis</td>
<td>5</td>
<td>IEEE</td>
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<tr>
<td>Wiley</td>
<td>3</td>
<td>SciTePress</td>
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<tr>
<td>Koninklijke Van Gorcum</td>
<td>2</td>
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<tr>
<td>Wageningen Academic Publishers</td>
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<tr>
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<tbody>
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<td>Eleven international publishing</td>
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<td>SDU</td>
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<td>John Benjamins</td>
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Calculating costs

For the average costs we rely on the study of the UUK working group for OA books (Eve, 2019)
Method: Average of publishers (£6.725) increased with +-10% to £7.500 → in € 8.474
If we use the same method for the Netherlands the average is €6.748. We increased this with +-10% to €7.500.
Average between UK and Netherlands: +-€8.000,-

With an expected output of +-700 books in 2019, the total costs would be €5.6M
Taverne Amendment (Article 25fa of the Copyright Act):

“The maker of a short scientific work, the research for which has been paid for in whole or in part by Dutch public funds, shall be entitled to make that work available to the public for no consideration following a reasonable period of time after the work was first published, provided that clear reference is made to the source of the first publication of the work.”
Issues

- Lack of aligning definitions of output types used in practice when creating records in a CRIS
- National ambitions focused on immediate OA
- Cost-transparency
- Awareness & author engagement
- No clear vision on implementation guidelines Plan S
Next steps → stakeholders

- Formulate policy (NPOS) for OA books (implementation in 2020).
- Consider making funding available for making books OA and consider setting up a joint fund.
- Pay more attention to communication with researchers and clearly state the benefits of open access publishing of books.
Image removed due to copyright issues

The Science Europe Briefing Paper on Open Access to Academic Books

Tobias Philipp, Coordinator Open Access at SNSF
Who?

Joint effort of the SE working group on open access

Specific task group:

Fonds National Suisse
Schweizerischer Nationalfonds
Fondo Nazionale Svizero
Swiss National Science Foundation

DFG Deutsche Forschungsgemeinschaft

Leibniz Association

FNRs Freedom to Research
Why?

Open access must extend to all formats of academic publications

Aim of this paper: Provide directions for book policy development
Challenges and Opportunities

Book landscape is **very diverse**
Authors and publishers alike **grapple with costs**

- The landscape is constantly evolving
- Open access could improve the situation for all involved
- Crucial to make authors want to publish open access

**OA does not prohibit printing a book!**
Principles

1. Explicit open access policies
2. Funding and business models
3. Quality assurance
4. Licences and copyright
5. Dissemination, discoverability, and archiving
Recommendations for Stakeholders

Researcher Funders

Libraries

Researchers

Publishers

Research Organisations

Learned Societies

Publishers
Example from Switzerland

SNSF conducted a pilot study „OAPEN-CH“ (2014-2017) with
• Publishers from Switzerland, Germany and France
• Researchers

Results influenced SNSF’s new funding instrument for oa books
• Modular, based on researchers needs and services provided
• Since April 2018 we funded 186 books in gold oa

➢ Big success, researchers and publishers are satisfied